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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  
Wenxin YU, et al.

Appl. No.: 10/632,171

Filed: July 30, 2003

For: **NOVEL MICROENCAPSULATION  
PROCESSES AND COMPOSITIONS  
FOR ELECTROPHORETIC DISPLAYS**

Art Unit: 2672

Confirmation No. 1406

Examiner: Not Yet Assigned

Atty. Docket: 07783.0065.NPUS01

**Information Disclosure Statement**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that had been cited by or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

Applicants have checked the appropriate boxes below.

- ☐ 1. This Information Disclosure Statement is being filed;
  - ☐ a. Within three months of the U.S. filing date of a national application other than a continued prosecution application under §1.53(d);
  - ☐ b. Within three months of the date of entry of the national stage as set forth in §1.491 in an international application;
  - ☐ c. Before the mailing date of a first Office Action on the merits;
  - ☐ d. Before the mailing of a first Office Action after filing of a request for continued examination under § 1.115.

No statement under 37 C.F.R. § 1.97(e) or fee is required.

or;

- ☐ 2. This Information Disclosure Statement is being filed after the period specified in paragraph 1(a)-1(d) above, but before the mailing date of a Final Rejection or Notice of Allowance, or action that otherwise closes prosecution in the application, and
  - ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1), or

- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2), or
- ☐ c. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but on or before payment of the Issue Fee. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(i), and
- ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1), or
- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 4. Relevance of the non-English language document(s) is discussed in the present specification.

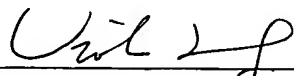
- ☐ 5. The document(s) was/were cited in a corresponding foreign application. An English language version of the foreign search report is attached for the Examiner's information.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 7. The Examiner's attention is directed to co-pending U.S. Patent Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 08-3038 referencing docket number **07783.0065.NPUS01**.

Respectfully submitted,

Date: August 5, 2005

  
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**INFORMATION DISCLOSURE  
CITATION**
**PTO-1449**
**ATTY. DOCKET NO.**

07783.0065.NPUS01

**SERIAL NO.**

10/632,171

**APPLICANT** Wenxin YU, et al.

**FILING DATE:** 7/30/2003

**GROUP** 2672

**U.S. PATENT DOCUMENTS**

EXR INITIAL	PATENT NO.	DATE MM-YYYY	NAME	CLASS	SUBCLASS	FILING DATE
	3,281,426	10-1966	van Dyke Tiers			
	4,218,302	08-1980	Dalisa et al			
	5,069,994	12-1991	Gitzel et al			
	5,244,768	09-1993	Inaba			
	5,573,711	11-1996	Hou et al			
	5,930,026	07-1999	Jacobson et al			
	5,961,804	10-1999	Jacobson et al			
	6,392,786	05-2002	Albert			
	60/443,893 (corresponding to US 10/766,757 and WO 04/068234)	01-2003	Liang et al			
	09/518,488 (corresponding to WO 01/67170)	03-2000	Liang et al			
	09/606,654 (corresponding to US 6,672,921 and WO 02/01281)	06-2000	Liang et al			
	09/784,972 (corresponding to US 2002-0182544 and WO 02/65215)	02-2001	Chan-Park et al			
	09/874,391 (corresponding to US 2002-0188053 and WO 02/098977)	06-2001	Zang et al			
	09/879,408 (corresponding to US 6,545,797 and US 2002-0196525 and WO 02/100155)	06-2001	Chen et al			

	10/198,729 (corresponding to US 6,885,495 and US 2004-0263946 and US 2003- 0035198 and WO 03/009059)	07-2002	Liang et al			
	10/222,036 (corresponding to US 2003-0034950 and WO 03/016993)	08-2002	Liang et al			
	10/335,051 (corresponding to US 2003-0207963 and WO 03/057360)	12-2002	Chen et al			
	10/335,210 (corresponding to US 2003-0169227 and WO 03/058335)	12-2002	Chen et al			
	10/394,488 (corresponding to US 6,927,892 and US 2004-0136046 and WO 03-081325)	03-2003	Ho et al			
	10/421,217 (corresponding to US 6,914,713 and US 2003-0197916 and WO 03/091797)	04-2003	Chung et al			

#### FOREIGN PATENT DOCUMENTS

EX'R INITIAL	PATENT NO.	DATE MM-YYYY	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	EP 0 594 126	04-1994	Europe				
	WO 02/01281	01-2002	PCT				
	Int'l Search Report (PCT/US03/023891)	12-2003	PCT				

#### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EX'R INITIAL	DOCUMENT
	Chen, S.M. (2003, July) The Applications for the Revolutionary Electronic Paper Technology. <i>OPTO News &amp; Letters</i> , 102, 37-41. (in Chinese, English abstract attached, full translation available upon request)
	Chen, S.M. (2003, May) The New Applications and the Dynamics of Companies. <i>TRI</i> . 1-10. (In Chinese, English abstract attached, full translation available upon request)

	Hopper and Novotny (1979) An Electrophoretic Display, Its Properties, Model, and Addressing, <i>IEEE Trans. Electr. Dev.</i> , ED 26 (8), pp 1148-1152.
	Lee, H., & Liang, R.C. (2003, June) SiPix Microcup(R) Electronic Paper – An Introduction. <i>Advanced Display</i> , Issue 37, 4-9 (in Chinese, English abstract attached, full translation available upon request)
	Liang, R.C. (2003, February) <i>Microcup(R) Electrophoretic and Liquid Crystal Displays by Roll-to-Roll Manufacturing Processes</i> . Presentation conducted at the Flexible Microelectronics & Displays Conference of U.S. Display Consortium, Phoenix, Arizona, USA.
	Liang, R.C., Hou, J., Chung, J., Wang, X., Pereira, C., & Chen, Y. (2003). Microcup(R) Active and Passive Matrix Electrophoretic Displays by A Roll-to-Roll Manufacturing Processes. <i>SID Digest</i> , 20.1.
	Liang, R.C., Hou, J., & Zang, H.M. (2002, December) Microcup Electrophoretic Displays by Roll-to-Roll Manufacturing Processes. <i>IDW</i> , EP2-2, 1337-1340.
	Liang, R.C., Hou, J., Zang, H.M., & Chung, J. (2003, February). <i>Passive Matrix Microcup(R) Electrophoretic Displays</i> . Paper presented at the IDMC, Taipei, Taiwan.
	Liang, R.C., Hou, J., Zang, H.M., Chung, J., & Tseng, S. (2003). Microcup(R) displays : Electronic Paper by Roll-to-Roll Manufacturing Processes. <i>Journal of the SID</i> , 11(4), 621-628.
	Liang, R.C., & Tseng, S. (2003, February). <i>Microcup(R) LCD, An New Type of Dispersed LCD by A Roll-to-Roll Manufacturing Process</i> . Paper presented at the IDMC, Taipei, Taiwan.
	Mossman, M.A. et al, (2000) New Reflective Display Based on Total Internal Reflection in Prismatic Microstructure. <i>SID IDRC Proceeding</i> , pp 311-314.
	Mossman, M.A. et al, (2001) New Reflective Color Display Technique Based on Total Internal Reflection and Subtractive Color Filtering. <i>SID 2001 Digest</i> , pp 1054-1057.
	Mossman, M.A. et al, (2002) Grey Scale Control of TIR Using Electrophoresis of Sub-Optical Pigment Particles. <i>SID 2002 Digest</i> , pp 522-525.
	Nikkei Microdevices. (2002, December) Newly-Developed Color Electronic Paper Promises – Unbeatable Production Efficiency. <i>Nikkei Microdevices</i> , 3. (in Japanese, with English translation)
	Zang, H.M., & Liang, R.C. (2003) Microcup Electronic Paper by Roll-to-Roll Manufacturing Processes. <i>The Spectrum</i> , 16(2), 16-21.
<b>EXAMINER:</b>	<b>DATE CONSIDERED:</b>
<b>EXAMINER:</b> Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.	
*If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identical in the statement and relied upon for an earlier filing date under 35 U.S.C. §120. 37 C.F.R. §1.98 (d).	